



# Department of Defense INSTRUCTION

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## AD-A272 752

June 9, 1992  
NUMBER 5106.3

IG, DoD

SUBJECT: Inspector General of the Department of Defense (IG, DoD), Inspection Program

References:

- (a) DoD Instruction 5106.3, subject as above, July 26, 1989 (hereby canceled)
- (b) DoD Directive 5106.1, "Inspector General of the Department of Defense," March 14, 1983
- (c) Inspector General Act of 1978, 5 U.S.C. Appendix 3
- (d) DoD Directive 7650.3, "Followup on General Accounting Office, DoD Inspector General, Internal Audit, and Internal Review Reports," September 5, 1989
- (e) DoD 5200.1-R, "Information Security Program Regulation," June 1986, authorized by DoD Directive 5200.1, June 7, 1982

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### A. REISSUANCE AND PURPOSE

This Instruction:

1. Reissues reference (a).
2. Updates policy, responsibilities, and procedures on IG, DoD, inspections; processing inspection findings and recommendations; and following up and verifying corrective action under reference (b).

### B. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Commands, and the Defense Agencies (hereafter referred to collectively as "the DoD Components").

### C. POLICY

1. It is DoD inspection program policy to:
  - a. Assess management efficiency, operational effectiveness, and statutory compliance in the Department of Defense, with emphasis on mission effectiveness and on the detection and prevention of fraud, waste, and mismanagement.

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b. Provide inspection coverage of those areas of concern to the Congress, the Secretary of Defense, the OSD Principal Staff Assistants, and the Directors of the Defense Agencies.

c. Coordinate with the inspection elements of the DoD Components for full inspection coverage of the Department of Defense and for avoidance of duplication.

2. It is the DoD policy that all employees fully cooperate with the Office of the Inspector General, Department of Defense (OIG, DoD), representatives so that inspections may be conducted and brought to a prompt and appropriate conclusion.

D. RESPONSIBILITIES

1. The Inspector General of the Department of Defense shall:

a. Conduct inspections of the DoD Components in accordance with the provisions of the Inspector General Act of 1978 (reference (c)).

b. Establish policies and procedures for performing inspections of the DoD Components.

c. Respond to requests for assistance.

d. Carry out the resolution and followup functions described in DoD Directive 7650.3 (reference (d)) for inspection reports.

e. Verify the implementation of agreed-upon corrective actions to inspection findings, in addition to the followup requirements in paragraph D.1.d., above.

f. Develop inspection techniques and training programs.

g. Coordinate with the inspection and audit elements of the DoD Components to exchange planning and schedule information, avoid duplication, and improve inspection proficiency in the Department of Defense.

h. Request assistance from audit, inspection, and investigative elements or specialists within the DoD Components who are knowledgeable in the program being inspected.

i. Exercise the authorities delegated in section G. of DoD Directive 5106.1 (reference (b)) as they apply to inspection activities.

2. The Heads of the DoD Components shall:

- a. Maintain the authority, direction, and operational control of their inspection organizations and activities under reference (b).
- b. Designate, for each IG, DoD, inspection affecting their component, a primary and an alternate management official who shall serve as a central point of contact.
- c. Work closely with the IG, DoD, and coordinate inspection efforts to prevent and detect fraud, waste, and mismanagement in the Department of Defense.
- d. Provide the IG, DoD, access to all information and documentation in accordance with DoD Directive 5106.1 (reference (b)).
- e. Assist the IG, DoD, during inspections by performing the following activities:
  - (1) Furnish qualified personnel to augment the inspections.
  - (2) Advise the IG, DoD, before the beginning of inspections of known or suspected deficiencies or problems in DoD Component activities.
  - (3) Inform personnel within the DoD Component being inspected of their right to request assistance relating to their concerns of fraud, waste and mismanagement without fear of reprisal.
  - (4) Furnish on-site facilities and other assistance needed by OIG, DoD, personnel.
  - (5) Ensure that management officials are available to inspectors during IG, DoD, inspections except for unavoidable circumstances, such as illness or overriding mission responsibilities.
- f. Provide timely response to IG, DoD, inspection findings, recommendations and estimated monetary benefits as specified by DoD Directive 7650.3 (reference (d)).
- g. Take prompt and thorough corrective actions on agreed-upon findings and recommendations and assist followup officials in maintaining accurate followup status records as specified by reference (d).

**E. PROCEDURES**

**1. General**

a. The DoD Components are scheduled for inspection under annual inspection plans approved by the IG, DoD.

b. The Heads of the DoD Components may request IG, DoD, inspections at any time. They must give the reason for the request and recommend the inspection scope. Requests for such inspections should be directed to the IG, DoD.

c. In addition to the annual inspection plan, the IG, DoD, will normally provide a 120-day advance announcement of inspections to the Heads of the DoD Components. The commanders of inspection sites normally shall be provided specific advanced notification of upcoming site visits. When additional sites are identified during the inspection process, commanders will be notified as far in advance as practicable, but such sites may be visited with minimum advance notice when necessary to prevent delay of the inspection.

**2. Inspection Report Processing**

a. A draft inspection report shall be furnished to the appropriate action Agencies for comment before publication of the final report. All action Agencies shall respond to the findings and recommendations in the draft report within the response time established by the IG, DoD, transmittal memorandum. The response time established will be based on the urgency, extent, and complexity of the inspection but will be no less than 30 calendar days. The action Agencies shall:

(1) Advise the IG, DoD, within 10 calendar days of the transmittal date when the recipient believes action was assigned incorrectly.

(2) Provide management comments indicating concurrence, partial concurrence, or nonconcurrence with each finding and recommendation, and the estimated monetary benefit.

(3) Describe the corrective actions taken or planned and the actual or estimated completion dates.

(4) Provide a rationale for nonconcurrences and, where appropriate, alternative methods to correct the deficiency or an alternative estimate of potential monetary benefits.

(5) Identify and propose solutions to problems directly related to, but not explicitly discussed in the findings and recommendations, if applicable.

b. The final inspection report contains the findings and recommended corrective actions along with management comments. When management comments are not responsive, action Agencies shall provide to the Assistant Inspector General for Inspections (AIG-INS), OIG, DoD, additional information as requested.

3. Resolution, Followup, and Verification

a. Final reports and management comments are referred to the Assistant Inspector General for Analysis and Followup, OIG, DoD, for resolution or followup under the provisions of DoD Directive 7650.3 (reference (d)).

b. The AIG-INS, OIG, DoD, shall, on a selective basis, conduct on-site verification and evaluation of inspection results and corrective actions. The on-site verification shall be coordinated to avoid duplication in the OIG, DoD, followup program and to ensure an aggressive field verification effort.

4. IG, DoD, Assistance Procedures. The Inspector General Act of 1978 (reference (c)) provides for receipt and investigation of employee complaints on fraud, waste, and mismanagement. The IG, DoD, inspection program will promote the receipt and handling of such complaints as follows:

a. When appropriate, an employee assistance period may be held during an IG, DoD, inspection at a site allowing for the fullest possible confidentiality. That site shall be approved by the head of the inspection team.

b. Employees who ask for assistance from the IG, DoD, will be referred to the channels with the authority to resolve the problem. Personnel will be encouraged to try to resolve personal complaints or grievances at the local command level through discussion with their supervisor, complaint official, or head of their organization.

c. Reports of suspected criminal activity will be referred to the appropriate OIG, DoD, investigative or audit function for action.

d. The OIG, DoD, representative receiving information from an employee shall not disclose the identity of that employee without the employee's consent as described in reference (c), unless the IG determines such disclosure is unavoidable during the course of the inspection. In those cases, the OIG, DoD, representative shall notify the employee when his or her identity has been or may be disclosed, and, if possible, to whom such disclosure has been or shall be made.

**5. Safeguarding IG, DoD, Inspection Reports and Inspection Information**

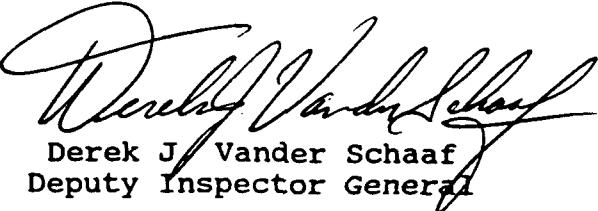
a. Inspection reports with classified information shall be processed under the provisions of DoD 5200.1-R (reference (e)).

b. Draft inspection reports, to include all working papers, are privileged and shall not be released or revealed outside the Department of Defense without specific approval by the IG, DoD. Access to those reports in the Department of Defense shall be on a need-to-know basis and consistent with the security classification of those reports.

c. Final IG, DoD, inspection reports may be released unless they contain information that must be protected for national security or are otherwise prohibited from disclosure by any other law.

**F. EFFECTIVE DATE**

This Instruction is effective immediately.



Derek J. Vander Schaaf  
Deputy Inspector General

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